

## CHANGES APRIL 1, 2009 THROUGH DECEMBER 31, 2009

**TITLE 17—COMMODITY AND SECURITIES EXCHANGES****Chapter I—Commodity Futures Trading Commission (Parts 1—199)**

1.10 (b)(2)(iii) removed; (b)(2)(i), (ii)(A), (3), (c)(1), (2), (d)(1)(ii), (4)(iii) and (h) revised.....	69008
1.12 (a)(2) and (i)(1) revised; (a)(3) removed; (i)(3) added .....	69009
1.17 (a)(1)(i)(A), (B), (iii)(A), (b)(2), (3), (4) introductory text, (7) introductory text, (8) introductory text and (c)(5)(x) introductory text revised; (b)(9) and (10) added.....	69282
4.7 (b)(2)(iii)(A), (B), (b)(2)(iv), (v) and (3)(i)(D) added; (b)(3)(i) introductory text, (B), (C) and (ii) revised .....	57590
4.13 (c)(2) removed; (c)(3) redesignated as new (c)(2).....	57590
4.22 (a) introductory text, (1) introductory text, (2) introductory text, (c) introductory text, (4), (5), (d), (e) and (f)(2) revised; (c)(6) redesignated as (c)(8); (a)(5), (6), and new (c)(6) and (7) added .....	57590
7 Authority citation revised.....	39212
7.201 Removed.....	39212
38 Appendix B partial suspension lifted; amended .....	18990
40.2 (a)(3)(v) added .....	17394
40.3 (a)(7) revised .....	17394
40.5 (a)(8) revised .....	17394
40.6 (a)(3)(vi) revised.....	17394
40.8 (c) and (d) added.....	17394
40 Appendix D amended.....	17394
41.23 (a)(7) added.....	17394
41.24 (a)(6) added.....	17394
145.9 (b) revised.....	17395
160.2 Revised.....	62974
160.6 (b) and (f) revised; (g) added; (g) removed eff. 1-1-12 .....	62974
160.7 (i) added .....	62975
160 Appendix A redesignated as Appendix B; new Appendix A added.....	62975
Appendix B amended; Appendix B removed eff. 1-1-12 .....	62984

**Chapter II—Securities and Exchange Commission (Parts 200—399)**

200.30-3 (a)(11) added .....	38292
200.30-4 (a)(13) added .....	40069
200.30-14 (m) added.....	20411
210 Authority citation revised.....	18614
210.1-02 (w)(1), (3), Computational Notes 1 and 2 following (w) Note, (bb)(1)(i) and (ii) revised.....	18614
210.2-02T Regulation at 73 FR 38099 effectiveness extended through 6-30-10.....	30211
Regulation at 73 FR 38099 effectiveness extended through 12-15-10 .....	53628
(a) and (b) amended .....	53630
210.3-01 (c)(2) and (3) revised.....	18614
210.3-04 Revised .....	18614
210.3-05 (a)(1)(i) and (ii) revised; authority citation removed .....	18614
210.3-10 (i)(3) revised.....	18615
210.3A-02 (a) and (b)(2) amended .....	18615
210.4-08 (e)(3) introductory text amended .....	18615
210.5-02 Amended.....	18615
210.5-03 Amended.....	18615
210.5-04 Schedule I amended .....	18615
210.7-01—210.7-05 Authority citation following undesignated center heading removed .....	18615
210.7-03 Amended .....	18615
210.7-04 Amended .....	18615
210.7-05 Schedule II amended; authority citation removed .....	18615
210.8-03 (b)(3) and (4) revised.....	18615
210.8-04 (a) introductory text, (b)(3) and Computational Note amended; (a)(1) revised .....	18616
210.8-08 (b)(2) and (3) revised.....	18616
210.9-03 Amended; authority citation removed.....	18616
210.9-04 Amended.....	18616
210.9-06 Amended .....	18616
210.10-01 (b)(3) and (4) revised .....	18616
210.11-01—210.11-03 Authority citation following undesignated center heading removed .....	18616
210.11-01 (a)(1) and (2) revised .....	18616

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210.11-02 (b)(3) revised; Instruction 2 amended.....	18616	239.17b Form N-4 correctly amended.....	26782
211 Staff accounting bulletin .....	17769,	239.25 Form S-4 amended.....	18617
	57063	239.33 Form F-3 amended.....	18618
Interpretive release .....	18617, 27427,	239.39 Form F-9 correctly amended.....	15668
	42773	239.40 Form F-10 correctly amended.....	15668
229.301 Instructions amended.....	18617	239.90 Form 1-A amended .....	18618
229.302 (a)(1) and (2) revised .....	18617	240 Authority citation revised.....	68365
229.305 Instructions amended.....	18617	240.3al-1 (b)(3)(v), (vi) and (vii) revised; (b)(3)(viii) removed .....	52372
229.308T Regulation at 73 FR 38099 effectiveness extended through 6-30-09.....	30211	240.12a-10T Regulation at 74 FR 3975 exp. date extended to 11-30-09.....	47724
Regulation at 73 FR 18099 effectiveness extended through 12-15-09 .....	53628	(b) amended.....	47725
Note and (c) amended.....	53631	240.12b-2 Amended .....	18618
229.401 (e)(1) revised; (e)(2), (f) introductory text, (4), (5), (6) and Instructions amended; (f)(7) and (8) added .....	68362	240.12h-1 Regulation at 74 FR 3975 exp. date extended to 11-30-09.....	47724
229.402 (c)(2)(v), (vi), (ix)(G), (k)(2)(iii), (iv), (vii)(I), (n)(2)(v), (vi), (ix)(G), (r)(2)(iii), (iv) and (vii)(I) revised; (d)(2)(iii), (iv) and (k)(2)(vii)(I) and Instructions amended; (s) added .....	68362	(h)T amended .....	47725
229.407 (c)(2)(vi) and (e)(3)(iii) revised; (h) added.....	68364	240.14a-101 Instructions amended .....	18618, 68365
229.503 Instructions amended.....	18617	240.17g-2 (d) revised .....	63863
230.146 Regulation at 74 FR 3974 exp. date extended to 11-30-10; (c)T amended.....	47724	240.17g-5 (a)(1) and (2) amended; (b)(9) redesignated as (b)(10); (a)(3), new (b)(9) and (e) added .....	63864
230.239T Regulation at 74 FR 3974 exp. date extended to 11-30-09; (e) amended.....	47724	241 Interpretive release .....	42773
231 Interpretive release .....	42773	242.204 Added .....	38292
232.201 (a) introductory text corrected .....	15667	242.300 (i) revised; (j) removed; (k) redesignated as new (j) .....	52372
232.202 (a) introductory text, (2) and (b)(2) corrected .....	15667	242.301 (b)(5)(i)(C) and (6)(i)(C) amended; (b)(5)(i)(D) and (6)(i)(D) revised; (b)(5)(i)(E) and (6)(i)(E) removed.....	52372
232.301 Revised ...17597, 18466, 38524, 56108		243.100 (b)(2)(iii) revised.....	63865
232.312 (a) amended.....	67815	248 Authority citation revised.....	40430
232.405 Preliminary Note 1, (a)(2), (3), (4) and Note corrected .....	15667	Heading revised; amended.....	40431
Preliminary Note 1, (a)(2) introductory text, (3) and (4) corrected.....	21256	248.1—248.30 (Subpart A) Designated as Subpart A; heading added.....	40431
239.13 Form S-3 amended.....	18617	248.2 Revised.....	62984
239.14 Form N-2 amended .....	68366	248.3 (a)(1), (2) and (p) amended .....	40431
239.15A Form N-1A correctly amended.....	26782	248.4—248.9 (Subpart A) Heading removed.....	40431
Form N-1A amended .....	68366	248.4 Undesignated center heading added.....	40431
239.17a Form N-3 amended.....	68367	248.6 (b) and (f) revised; (g) added; (g) removed eff. 1-1-12 .....	62985
		248.7 (i) added .....	62985

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248.10—248.12 (Subpart B) Head- ing removed.....	40431	Form N-1A amended .....	68366
248.10 Undesignated center head- ing added.....	40431	274.11a-1 Form N-2 amended.....	68366
248.13—248.15 (Subpart C) Head- ing removed.....	40431	274.11b Form N-3 amended.....	68367
248.13 Undesignated center head- ing added.....	40431	274.11c Form N-4 correctly amended.....	26782
248.16—248.30 (Subpart D) Head- ing removed.....	40431	275.206(3)-3T (d) revised .....	69015
248.16 Undesignated center head- ing added.....	40431	<i>Proposed Rules:</i>	
248.1—248.30 (Subpart A) Appen- dix B redesignated from Ap- pendix A to Part 248; new Appendix B heading revised .....	40431	1.....	21290, 23962, 52434
248.1—248.100 (Subpart A) Appen- dix A added.....	62985	16.....	31642
Appendix B amended; Appen- dix B removed eff. 1-1-12 .....	62994	30.....	23962
248.101—248.128 (Subpart B) Added .....	40431	150.....	23964
Regulation at 74 FR 40431 com- pliance date extended to 6-1- 10 .....	58204	190.....	40794, 66598
248 Appendix A redesignated as Appendix B to 248.1—248.30 (Subpart A) .....	40431	200.....	29024, 67144
249.220f Form 20-F correctly amended .....	15668	220.....	53114, 55162
Form 20-F amended.....	18619, 53631	229.....	35076, 52374, 53086, 55162
249.240f Form 40-F correctly amended .....	15668	230.....	52374, 53954, 68545
Form 40-F amended.....	53631	232.....	29024, 54767, 67144
249.306 Form 6-K correctly amended .....	15669	239.....	35076, 52374, 53086, 55162
249.308 Form 8-K amended.....	68365	240.....	29024, 32474, 35076, 36832, 52374, 53086, 53954, 55162, 63866, 67144
249.308a Form 10-Q amended.....	53631, 68366	241.....	36832
249.310 Form 10-K amended.....	53631, 68366	242.....	18042, 42033, 48632, 52374, 61208
249.638 Form ATS-R amended .....	52372	248.....	17925
249.821 Form PILOT amended.....	52372	249.....	29024, 35076, 52374, 53086, 55162, 67144
260.4d-11T Regulation at 74 FR 3975 exp. date extended to 11- 30-09.....	47724	249b.....	63866
Amended .....	47725	270.....	32688, 35076, 52374
270.5b-3 (c)(4)(iii) revised .....	52373	274.....	29024, 32688, 35076, 53086, 55162, 67144
270.10f-3 (a)(3) revised; (a)(5) re- moved; (a)(6), (7) and (8) re- designated as new (a)(5), (6) and (7) .....	52373	275.....	25354, 39840, 52374
270.30b1-6T Added; interim; eff. through 9-17-10.....	48376	279.....	25354
274.11A Form N-1A correctly amended .....	26782		